



**CERTIFICATE OF MAILING PURSUANT TO 37 C.F.R. §1.8**

I hereby certify that this correspondence and attached documents in response to a Notice to File Missing Parts of Application, pursuant to 37 C.F.R. §1.8, are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Box MISSING PARTS, Washington D.C. 20231-9998, on:

Date: June 6, 2001

By Julie A. Eslick  
Signature of person depositing First-Class Mail

**IN THE UNITED STATES PATENT AND PATENT  
TRADEMARK OFFICE**

*TRANSMITTAL OF MISSING PARTS FOR  
PATENT APPLICATION PURSUANT TO  
37 C.F.R. §1.53(d)*

Applicant(s): Kosuke NISHIO, et al.

Docket No.: 28569.9700

Serial No.: 09/823,728

Filed: March 30, 2001

TITLE: ENCODER AND COMMUNICATION  
DEVICE

Group Art Unit: 2631

Confirmation No.: 5974

Assistant Commissioner for Patents  
Box MISSING PARTS  
Washington, D.C. 20231-9998

Sir:

In response to the Notice to File Missing Parts of Application mailed on May 17, 2001, in the above-identified application, enclosed herewith are the missing parts needed to complete filing of the subject patent application.

**1. Small Entity Status**

- ☐ Small entity status under 37 C.F.R. §§1.9 and 1.27 has been established by a verified statement previously submitted.
- ☐ Verified statements to establish small entity status under 37 C.F.R. §§1.9 and 1.27 is enclosed.

**2. Fee Calculation**

Basic Fee (\$710) + surcharge (\$130)						=	\$ 840.00
Total Claims	34	minus	20	=	1	x	\$ 18.00 = 252.00
Independent Claims	6	minus	3	=		x	\$ 80.00 = 240.00
Multiple dependent claim fee, if applicable							\$260.00 + 0.00
Fee calculation, request for extension of time pursuant to 37 C.F.R. §1.136(a)							

<input type="checkbox"/>	Missing parts filed within <b>first</b> month after due date – add	\$ 110.00	+	N/A
<input type="checkbox"/>	Missing parts filed within <b>second</b> month after due date – add	\$ 380.00	+	N/A
<input type="checkbox"/>	Missing parts filed within <b>third</b> month after due date – add	\$ 870.00	+	N/A
<input type="checkbox"/>	Missing parts filed within <b>fourth</b> month after due date – add	\$1360.00	+	N/A

**Subtotal:** 1,332.00

If one of the “small entity” boxes above is checked, enter half (1/2) of the Subtotal and subtract. - N/A

Add: Fee (\$40.00) for recording assignment and other fee(s): 40.00

**Less fees included with the application, Snell & Wilmer’s check no. 500529** 1,202.00

**TOTAL FEES ENCLOSED:** 170.00

**3. Enclosures (check as applicable)**

<input checked="" type="checkbox"/>	Notice of Missing Parts (copy)
<input checked="" type="checkbox"/>	Executed Combined Declaration and Power of Attorney
<input type="checkbox"/>	Power of Attorney
<input type="checkbox"/>	Verified Statement(s) of Small Entity Status under 37 C.F.R. §§1.9(c), 1.9(d), and 1.27
<input checked="" type="checkbox"/>	Check for <b>remaining fees (Snell &amp; Wilmer’s check No. 284885).</b>
<input checked="" type="checkbox"/>	Assignment and required Recordation Form Cover Sheet
<input type="checkbox"/>	Information Disclosure Statement pursuant to 37 C.F.R. §§1.97-1.99 (with PTO Form 1449 and copies of citations)
<input type="checkbox"/>	Other:

**Extra copies of this letter:**

<input checked="" type="checkbox"/>	for charge to deposit account ( <b>deficiency only</b> )
<input checked="" type="checkbox"/>	for assignment

**4. Manner of Payment**

- ☐ Please charge Deposit Account No. 19-2814 in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is attached.
- ☒ Check in the amount of \$170.00 is attached (Snell & Wilmer Check No. 284885).

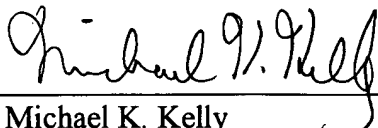
**This statement does NOT authorize charge of the issue fee.** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any deficiency in the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under 37 C.F.R. §§1.16-1.18 (deficiency only) now or hereafter relative to this Application and the resulting Official document under 37 C.F.R. §1.20, or credit any overpayment to Account No. 19-2814 for which purpose a duplicate copy of this sheet is attached.

**5. Assignment**

- ☒ An Assignment of this application is enclosed. Please record the Assignment and return the recorded Assignment to the undersigned attorney.

The Patent and Trademark Office is respectfully requested to send a corrected filing receipt for this application to the undersigned attorney and forward the application for examination.

Respectfully submitted,

By   
Michael K. Kelly  
Reg. No. 32,848

**SNELL & WILMER L.L.P.**  
One Arizona Center  
400 East Van Buren  
Phoenix, Arizona 85004-2202  
(602) 382-6291



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/823,728	03/30/2001	Kosuke Nishio	28569.9700

CONFIRMATION NO. 5974

## FORMALITIES LETTER



\*OC000000006087639\*

Michael K. Kelly  
Snell & Wilmer, LLP  
One Arizona Center  
400 East Van Buren Street  
Phoenix, AZ 85004-2202

Date Mailed: 05/17/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

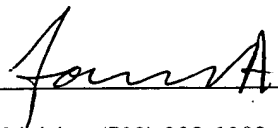
*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

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*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/13/2001 BNGUYEN1 00000079 09823728

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